

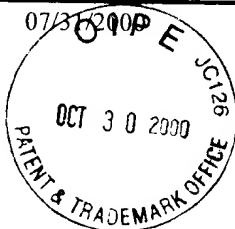


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/630,319	07/31/2000	Arthur M. Krieg	C1039/7042

Helen C Lockhart
Wolf Greenfield & Sacks P C
600 Atlantic Avenue
Boston, MA 02210



FORMALITIES LETTER



OC000000005436776

Date Mailed: 09/28/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1746.
 - \$1278 for 71 total claims over 20.
 - \$468 for 6 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2566.

11/02/2000 BHABTEW 00000004 09630319

01 FC:101	710.00 DP
02 FC:103	1278.00 DP
03 FC:102	468.00 DP
04 FC:105	130.00 DP

of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



ATTORNEY DOCKET NO. C1039/7042(HCL)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg et al.
Serial No: 09/630,319
Filed: July 31, 2000
For: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE
Examiner: Not Assigned
Art Unit: 1635

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231 on the 30 day of October 2000.

Helen C. Lockhart

COMMISSIONER FOR PATENTS
OFFICE OF INITIAL PATENT EXAMINATION
CUSTOMER SERVICE CENTER
WASHINGTON, D.C. 20231

Dear Sir:

REQUEST FOR CORRECTION OF FILING RECEIPT

The following information was not listed on the Official Filing Receipt. Please add the following:

**AND A CIP OF 08/386,063 02/07/1995
WHICH IS A CIP OF 08/276,358 07/15/1994 ABN**

Title: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE

and

**Applicant(s) Arthur M. Krieg, Iowa City, IA; Dennis Klinman, Potomac, MD; and
Alfred Steinberg, Potomac, MD**

Please add the information as listed above and as indicated in red on the enclosed copy of the Filing Receipt. If you have any questions, please do not hesitate to call the undersigned at (617) 720-3500.

By:

Helen C. Lockhart, Reg. No. 39,248
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
Tel. (617) 720-3500

Docket No. C1039/7042(HCL)
Date: October 30, 2000
XNDD



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/630,319	07/31/2000	1635	0	C1039/7042	6	91	9

Helen C Lockhart
Wolf Greenfield & Sacks P C
600 Atlantic Avenue
Boston, MA 02210



FILING RECEIPT



OC000000005436775

Date Mailed: 09/28/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) IOWA CITY, IA; DENNIS KLINMAN, POTOMAC, MD;
Arthur M. Krieg, ~~Residence Not Provided~~, AND ALFRED D. STEINBERG,
POTOMAC, MD

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A DIV OF 08/960,774 10/30/1997
WHICH IS A CIP OF 08/738,652 10/30/1996

AND A CIP OF 08/386,063 02/07/1995
WHICH IS A CIP OF 08/276,358 07/15/1994 ABN

Foreign Applications

If Required, Foreign Filing License Granted 09/28/2000

Title

METHODS

Method for treating and preventing Infectious disease

Preliminary Class

514

Data entry by : BATIE, MARGARET

Team : OIPE

Date: 09/28/2000





SECTOR 4


ATTORNEY'S DOCKET NO. C1039/7042 (HCL)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Krieg et al.
Serial No.: 09/630,319
Filed: July 31, 2000
For: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE
Examiner: Unassigned
Art Unit: 1635

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on the 26 day of October, 2000.


Helen C. Lockhart

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith are the following document(s):

- [X] Copy of Notice to File Missing Parts of Nonprovisional Application
- [X] Fee Calculation Sheet
- [X] Copy of the Assignment from Dennis Klinman to the United States of America, as represented by the Secretary, Department of Health and Human Services (Previously recorded)
- [X] Assignment from Arthur M. Krieg to the University of Iowa Research Foundation (To be recorded)
- [X] Assignment from Alfred D. Steinberg to Coley Pharmaceutical Group, Inc. (To be recorded)
- [X] Copy of Change of Corporate Name from CPG Immunopharmaceuticals, Inc. to Coley Pharmaceutical Group, Inc.
- [X] Request for Correction of Filing Receipt and Copy of Filing Receipt with Corrections in Red
- [X] Copy of the Documents Filed in the Parent Application Regarding Correction of Inventorship (Petition to Correct Inventorship, Verified Statement of Dr. Dennis Klinman, Verified Statement of Dr. Alfred D. Steinberg, Verified Statement of The University of Iowa Research Foundation Statement in Support of Correction of Inventorship; Supplemental Petition to Correct Inventorship; Verified Statement of the University of Iowa Research Foundation Statement in Support of Correction of Inventorship; and two Letters Granting Mr. Wheaton Signatory Authority on Behalf of the University of Iowa Research Foundation)
- [X] Copies (4) of Declaration for Patent Application (Filed in parent application)
- [X] Check in the Amount of \$2,678.00
- [X] Certificate of Mailing
- [X] Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

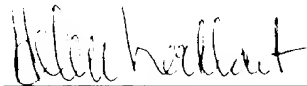
Serial No. 09/630,319

-2-

Art Unit: 1635

A check in the amount of \$2,678.00 (Filing Fee, Excess Claims Fee, Assignment Recordal Fees (2), and Missing Parts Fee) is enclosed. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,



Helen C. Lockhart, Reg. No. 39,248
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
(617) 720-3500

Docket No. C1039/7042
Date: October 14, 2000
X11/28/00



Attorney Docket No. C1039/7042

Inventor(s) Krieg et al.

Serial No 09/630,319

Filed July 31, 2000

For: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE

CHECK BOX, if applicable:

☐ DUPLICATE

Fee Calculation Sheet

CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
	TOTAL CLAIMS (37 CFR 1.16(c))	91-20=	71x	\$ 18	= \$ 1,278.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	9-3=	6 x	\$ 80	= \$ 480.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) +			\$	= \$
				BASIC FEE (37 CFR 1.16(a))	\$ 710.00
	Fee for Petition for Extension of Time (if any)				\$
	Total of above Calculations =				\$ 2,468.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				\$
	Assignment Recordation Fee (if any)				\$ 80.00
	Other Fees (if any).				\$ 130.00
	TOTAL =				\$ 2,678.00

1. A check in the amount of \$2,678.00 is enclosed.

General Authorization to Charge Deposit Account and General Request for Extension of Time

2. a. ☒ If the filing of any paper in this application necessitates the payment of a fee under 37 CFR §§ ☒ 1.16 ☒ 1.17 or ☐ 1.18, and the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.
- b. ☐ The applicant hereby revokes any prior authorization to charge a fee due under 37 CFR §§ ☐ 1.16 ☐ 1.17 or ☐ 1.18.
3. If the filing of any paper in this application necessitates an extension of time under 37 CFR § 1.136(a), the applicant hereby requests such extension of time. If the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.

Helen C. Lockhart, Reg. No. 39,248
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
(617) 720-3500
Attorneys of Record

Docket No. C1039/7042
Date: October 3, 2000
X11/28/00